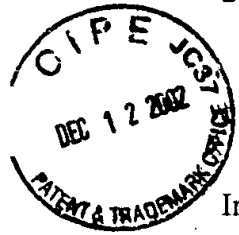


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PATENT
LBNL# IB-1504B



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#8143
3/2013

In re Application)

Inventor(s): Bernard Santarsiero, et al.)

Application No.: 10/026,362)

Filed: December 21, 2001)

Title: METHOD FOR SCREENING)
MICROCRYSTALLIZATIONS)
FOR CRYSTAL FORMATION)

Art Unit: 1754

Examiner: _____

Box IDS

Assistant Commissioner of Patents
Washington, D. C. 20231

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Howard M. Peters (Reg. No. 29,202)

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))

Sir:

TIME OF TRANSMITTAL OF ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of the first Office action on the merits, whichever event occurs last. 37 C.F.R. § 1.97(b).

If however a first Office action has issued, then alternatively

1. The information disclosure statement transmitted herewith is being filed after

three months of the filing date of this national application or the date of entry of the national stage as set forth in § 1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but before the mailing date of either:

- (1) a final action under § 1.113 or
 - (2) a notice of allowance under § 1.311,
- whichever occurs first.

STATEMENT OR FEE

2. Accompanying this transmittal is

- A. ☐ a statement as specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under § 1.97(c).

FEE PAYMENT

3. ☒ Applicant elects the option to pay the fee set forth in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under § 1.97(c) (\$240.00).

Fee due \$240.00

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4. ☐ Attached is a ☐ Check ☐ Money order in the amount of \$_____
- ☒ Authorization is hereby made to charge the amount of \$ if needed
- ☒ To Deposit Account No. 16-1331
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Warning: Credit card information should not be included on this form as it may become public.

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A duplicate of this paper is attached.

If additional fees are required for the filing of these documents, the Commissioner of hereby authorized to charge or credit an overpayment to Deposit Account No. 16-1331.

Respectfully submitted,



Date: December 5, 2002

Howard M. Peters (Reg. No. 29,202)
Attorney for Applicant
PETERS, VERNY, JONES & SCHMITT, L.L.P.
385 Sherman Avenue, Suite 6
Palo Alto, CA 94306
Tel: (650) 324-1677; Fax: (650) 324-1678

Enclosures - PTO 1449 / References in parent U.S.S.N. 09/851,397.

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PATENT
LBNL# IB-1504B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)

Inventor(s): Bernard Santarsiero, et al.)

Application No.: 10/026,362)

Filed: December 21, 2001)

Title: METHOD FOR SCREENING)
MICROCRYSTALLIZATIONS)
FOR CRYSTAL FORMATION)

Box IDS

Assistant Commissioner of Patents
Washington, D. C. 20231

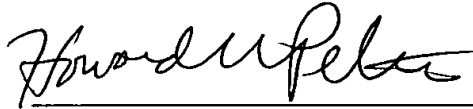
Art Unit: 1754

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))

Sir:

STATEMENTS

Applicants submit herewith patents, publications or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability (37 C.F.R. § 1.97(h)), or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

**IDENTIFICATION OF PERSON(S) MAKING
THIS INFORMATION DISCLOSURE STATEMENT**

The person making this statement is (check each applicable item)

- (a) ☐ the inventor(s) who signs below

SIGNATURE OF INVENTOR

- (b) ☐ an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c))

SIGNATURE OF INDIVIDUAL

- (c) ☒ the practitioner who signs below on the basis of the information:
(check each applicable item)

- ☐ supplied by the inventor(s).
- ☒ supplied by an individual associated with the filing and prosecution of this application. (37 C.F.R. § 1.56(c)).
- ☐ in the practitioner's file.

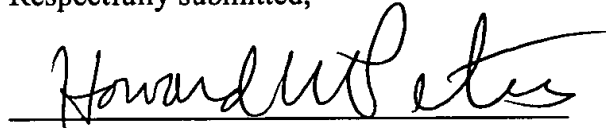
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David Weitz, esq. (Reg. No.: 3,362) who filed this U.S. patent application provided the PTO-1449 form & the references for submission. See references in parent USSN 09/851,397.

If additional fees are required for the filing of these documents, the Commissioner of hereby authorized to charge or credit an overpayment to Deposit Account No. 16-1331.

Respectfully submitted,

Date: December 5, 2002



Howard M. Peters (Reg. No. 29,202)

Attorney for Applicant

PETERS, VERNY, JONES & SCHMITT, L.L.P.

385 Sherman Avenue, Suite 6

Palo Alto, CA 94306

Tel: (650) 324-1677; Fax: (650) 324-1678

Enclosures: PTO 1449 Forms - References found in parent U.S. Ser. No. 09/851,379.

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PATENT
LBNL#IB-1504B

444 1754

MARIBEL

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)

Inventor(s): Bernard Santarsiero, et al.)

Application No.: 10/026,362)

Filed: December 21, 2001)

Title: METHOD FOR SCREENING
MICROCRYSTALLIZATIONS
FOR CRYSTAL FORMATION)

Art Unit: 1754

Examiner: _____

Box IDS

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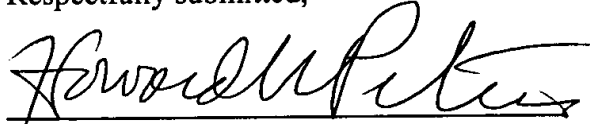
Sir:

Enclosed herewith are the following documents:

1. Transmittal Letter (2 pgs) in duplicate;
2. Transmittal Date (2 pgs);
3. Transmittal Statement (2 pgs);
4. PTO 1449 Form (5 pgs);
5. References in U.S.S.N. 09/851,397;
6. Postcard.

If additional fees are required for the filing of these documents, the Commissioner of hereby authorized to charge or credit an overpayment to Deposit Account No. 16-1331.

Respectfully submitted,



Date: December 5, 2002

Howard M. Peters (Reg. No. 29,202)

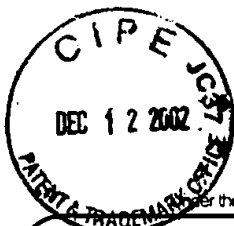
Attorney for Applicant

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 1 of 5

Complete if Known

Application Number	10/026,362
Filing Date	December 21, 2001
First Named Inventor	Bernard D. Santarsiero et al.
Group Art Unit	1754
Examiner Name	
Attorney Docket Number	2960.54-3

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AA	ARAKALI, SHEELA V., EASLEY, SAMANTHA, LUFT, JOSEPH R. and DETITTA, GEORGE T., Time Courses of Equilibration for Ammonium Sulfate, Sodium Chloride and Magnesium Sulfate Heptahydrate in the Z/3 Crystallization Plate, Acta Cryst (1994), D50, pp. 472-478.	
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	AF	BLOW, D.M., CHAYEN, N.E., LLOYD, L.F. and SARIDAKIS, E., Control of nucleation of protein crystals, Protein Science (1994), Vol. 3, pp. 1638-1643.	
	AG	CHAYEN, NAOMI E., RADCLIFFE, JONATHAN W. and BLOW, DAVID M., Control of nucleation in the crystallization of lysozyme, Protein Science (1993), Vol. 2, pp. 113-118.	
	AH	CHAYEN, NAOMI E., GORDON, ELSPETH J., PHILLIPS, SIMON E.V., SARIDAKIS, E.G., and ZAGALSKY, PETER F., Crystallization and initial X-ray analysis of β -crustacyanin, the dimer of apoproteins A ₂ and C ₁ , each with a bound astaxanthin molecule, Acta Cryst. (1996), D52, pp. 409-410.	
	AI	CHAYEN, NAOMI E., A novel technique for containerless protein crystallization, Protein Engineering (1996), Vol. 9, No. 10, pp. 927-929.	
	AJ	CHAYEN, NAOMI E., CONTI, ELENA, VIELLE, CLAIRE and ZEIKUS, J. GREGORY, Crystallization and initial X-ray analysis of xylose isomerase from <i>Thermotoga neapolitana</i> , Acta Cryst. (1997), D53, pp. 229-230.	
	AK	CHAYEN, NAOMI E., Comparative Studies of Protein Crystallization by Vapour-Diffusion and Microbatch Techniques, Acta Cryst. (1998), D54, pp. 8-15.	
	AL	CHAYEN, NAOMI E., Recent advances in methodology for the crystallization of biological macromolecules, Journal of Crystal Growth (1999), Vol. 198/199, pp. 649-655.	
	AM	CHAYEN, NAOMI E., Crystallization with oils: a new dimension in macromolecular crystal growth, Journal of Crystal Growth (1999), Vol. 196, pp. 434-441.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 5

Application Number	10/026,362
Filing Date	December 21, 2001
First Named Inventor	Bernard D. Santarsiero et al.
Group Art Unit	1754
Examiner Name	
Attorney Docket Number	2960.54-3

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

AN	CONTI, ELENA, LLOYD, LESLEY F., AKINS, JOHN, FRANKS, NICK P. and BRICK, PETER, Crystallization and preliminary diffraction studies of firefly luciferase from <i>Photinus pyralis</i> , Acta Cryst. (1996), D52, pp. 876-878.
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BB	LILLEY, GLENN G., BARBOSA, JOAO A.R.G. and PEARCE, LESLEY A., Expression in <i>Escherichia coli</i> of the Putative N-Acetylneuraminase Lyase Gene (<i>nana</i>) from <i>Haemophilus influenzae</i> : Overproduction, Purification, and Crystallization, Protein Expression and Purification (1998), Vol. 12, pp. 295-304.

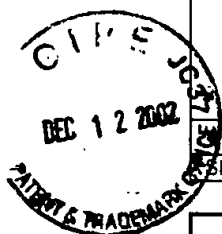
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Sheet 3 of 5

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Application Number	10/026,362
Filing Date	December 21, 2001
First Named Inventor	Bernard D. Santarsiero et al.
Group Art Unit	1754
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Attorney Docket Number	2960.54-3

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BC	LORBER, BERNARD and GIEGE, RICHARD, Containerless protein crystallization in floating drops: application to crystal growth monitoring under reduced nucleation conditions, Journal of Crystal Growth (1996), Vol. 168, pp. 204-215.
BD	LLOYD, LESLEY F., BRICK, PETER, MEI-ZHEN, LOU, CHAYEN, NAOMI E. and BLOW, DAVID M., Many Crystal Forms of Human Immunodeficiency Virus Reverse Transcriptase, J. Mol. Biol. (1991), Vol. 217, pp. 19-22.
BE	LLOYD, LESLEY F., BRICK, PETER and BLOW, DAVID M., Crystallization studies on HIB-1 reverse transcriptase, Journal of Crystal Growth (1992), Vol. 122, pp. 355-359.
BF	LUFT, JOSEPH R. and DETITTA, GEORGE T., HANGMAN: a macromolecular hanging-drop vapor-diffusion technique, J. App. Cryst. (1992), Vol. 25, pp. 324-325.
BG	LUFT, JOSEPH R., ARAKALI, SHEELA V., KIRISITS, MARY J., KALENIK, JENNIFER, ILONA WAWRZK, CODY, VIVIAN, PANGBORN, WALTER A. and DETITTA, GEORGE T., A Macromolecular Crystallization Procedure Employing Diffusion Cells of Varying Depths as Reservoirs to Tailor the Time Course of Equilibration in Hanging- and Sitting-Drop Vapor-Diffusion and Microdialysis Experiments, J. Appl. Cryst. (1994), Vol. 27, pp. 443-452.
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BI	LUFT, JOSEPH R., ALBRIGHT, DOUGLAS T., BAIRD, JAMES K. and DETITTA, GEORGE T., The Rate of Water Equilibration in Vapor-Diffusion Crystallization: Dependence on the Distance from the Droplet to the Reservoir, Acta Cryst. (1996), D52, pp. 1098-1106.
BJ	LUFT, JOSEPH R. and DETITTA, GEORGE T., Kinetic Aspects of Macromolecular Crystallization, Methods in Enzymology (1997), Vol. 276, No. 7, pp. 110-130.
BK	LUFT, JOSEPH R. and DETITTA, GEORGE T., A method to produce microseed stock for use in the crystallization of biological macromolecules, Acta Cryst. (1999), D55, pp. 988-993.
BL	LUFT, JOSEPH R., RAK, DAWN M. and DETITTA, GEORGE T., Microbatch macromolecular crystallization on a thermal gradient, Journal of Crystal Growth (1999), Vol. 196, pp. 447-449.
BM	LUFT, JOSEPH R., WOLFLEY, JENNIFER, JURISICA, IGOR, GLASGOW, JANICE, FORTIER, SUZANNE and DETITTA, GEORGE T., Macromolecular crystallization in a high throughput laboratory—the search phase, Journal of Crystal Growth (2001), Vol. 232, pp. 591-595.
BN	McPHERSON, ALEXANDER, KOSZELAK, STANLEY, AXELROD, HERBERT, DAY, JOHN, WILLIAMS, ROGER, ROBINSON, LINDSAY, McGRATH, MARY and CASCIO, DUILIO, An Experiment Regarding Crystallization of Soluble Proteins in the Presence of β -Octyl Glucoside, Journal of Biological Chemistry (1986), Vol. 261, No. 4, pp. 1969-1975.
BO	O'HARA, BERNARD P., HEMMINGS, ANDREW M., BUTTLE, DAVID J. and PEARL, LAURENCE H., Crystal Structure of Glycyl Endopeptidase from <i>Carica papaya</i> : A Cysteine Endopeptidase of Unusual Substrate Specificity, Biochemistry (1995), Vol. 34, pp. 13190-13195.
BP	PANAYOTOU, GEORGE, BROWN, TOM, BARLOW, TOM, PEARL, LAURENCE H. and SAVVA, RENOS, Direct Measurement of the Substrate Preference of Uracil-DNA Glycosylase, Journal of Biological Chemistry (1998), Vol. 273, No. 1, pp. 45-50.
BQ	PEARL, LAURENCE H., HEMMINGS, ANDREW M., NUCCI, ROBERTO and ROSSI, MOSE, Crystallization and Preliminary X-ray Analysis of the β -Galactosidase from the Extreme Thermophilic Archaeobacterium <i>Sulfolobus solfataricus</i> , J. Mol. Biol. (1993), Vol. 229, pp. 561-563.
BR	PEARL, LAURENCE H., DEMASI, DOMENICO, HEMMINGS, ANDREW M., SICA, FILOMENA, MAZZARELLA, LELIO, RAI, CARLO A., D'AURIA, SABATO and ROSSI, MOSE, Crystallization and Preliminary X-ray Analysis of an NAD ⁺ -dependent Alcohol Dehydrogenase from the Extreme Thermophilic Archaeobacterium <i>Sulfolobus solfataricus</i> , J. Mol. Biol. (1993), Vol. 229, pp. 782-784.

Examiner
SignatureDate
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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of

5

Application Number

10/026,362

Filing Date

December 21, 2001

First Named Inventor

Bernard D. Santarsiero et al.

Group Art Unit

1754

Examiner Name

Attorney Docket Number

2960.54-3

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

BS	PEARL, LAURENCE, O'HARA, BERNARD, DREW, ROBERT and WILSON, STUART, Crystal structure of AmiC: the controller of transcription antitermination in the amidase operon of <i>Pseudomonas aeruginosa</i> , EMBO Journal (1994), Vol. 13, No. 24, pp. 5810-5817.
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Complete if known

Application Number	10/020,362
Filing Date	December 21, 2001
First Named Inventor	Bernard D. Santarsiero et al.
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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

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